

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: UT-Battelle, LLC

Application No./Patent No.: 10/824,291 Filed/Issue Date: 4-14-2004

Entitled: Hybrid Solar Lighting Distribution Systems and Components

UT-Battelle, LLC a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest
(The extent (by percentage) of its ownership interest is _____ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 015225, Frame 0485, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

<u>/Judson R. Hightower/</u>	<u>May 19, 2008</u>
Signature	Date
<u>Judson R. Hightower</u>	<u>865.576.3767</u>
Printed or Typed Name	Telephone Number
<u>IP Managing Attorney</u>	
Title	

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

OCTOBER 07, 2004

PTAS



102726494A

KIRK A. WILSON
P.O. BOX 2008
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ONE BETHEL VALLEY ROAD
OAK RIDGE, TN 37831-6258

Claw
10/14/2004

UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/14/2004

REEL/FRAME: 015225/0485
NUMBER OF PAGES: 8

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MUHS, JEFFREY D.

DOC DATE: 04/14/2004

ASSIGNOR:

EARL, DENNIS D.

DOC DATE: 04/14/2004

ASSIGNOR:

BESHEARS, DAVID L.

DOC DATE: 04/14/2004

ASSIGNOR:

MAXEY, LONNIE C.

DOC DATE: 04/14/2004

ASSIGNOR:

JORDAN, JOHN K.

DOC DATE: 04/14/2004

ASSIGNOR:

LIND, RANDALL F.

DOC DATE: 04/14/2004

ASSIGNEE:

UT-BATTELLE, LLC
ONE BETHEL VALLEY ROAD
P.O. BOX 2008, BLDG. 4500N, MS-
6258
OAK RIDGE, TENNESSEE 37831-6258

SERIAL NUMBER: 10824291

FILING DATE: 04/14/2004

PATENT NUMBER:

ISSUE DATE:

TITLE: HYBRID SOLAR LIGHTING DISTRIBUTION SYSTEMS AND COMPONENTS

SHARON LATIMER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

ASSIGNMENT

WHEREAS, we the below-named inventors whose residence and post office are as stated below, have invented certain new and useful improvements in

Hybrid Solar Lighting Distribution Systems and Components

(hereinafter referred to as "Subject Invention") for which an application for United States Letters Patent was executed by us on even date herewith, and

WHEREAS, UT-BATTELLE, LLC, a limited liability company of the State of Tennessee, having an office at One Bethel Valley Road, P. O. Box 2008, Oak Ridge, Tennessee 37831-6258, hereinafter referred to as "ASSIGNEE," is desirous of acquiring the entire right, title and interest of the undersigned in the Subject Invention and to any Letters Patent that may be granted therefor in the United States of America and in any and all foreign countries.

NOW, THEREFORE, in accordance with the terms of our employment agreement with ASSIGNEE and for good and valuable consideration, the receipt of which is hereby acknowledged, we hereby assign to ASSIGNEE our entire right, title and interest in the Subject Invention to all rights of priority thereto pursuant to the International Convention for the Protection of Industrial Property, and in any Letters Patent on the Subject Invention that may be granted in the United States of America and in any and all foreign countries, including any and all Letters Patent that are divisions, reissues, continuations, substitutions or extensions of any Letters Patent or applications therefor on the Subject Invention.

We hereby authorize and request the Commissioner of the United States Patent and Trademark Office and the officials of any and all foreign countries to issue any and all of said Letters Patent, when granted, to the ASSIGNEE.

Further, we hereby agree to communicate to said ASSIGNEE or its representatives any facts known to us respecting said Subject Invention, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, substitution, renewal and reissue applications, to execute all necessary assignment papers to cause any and all of said Letters Patent to be issued to said ASSIGNEE, and to make all rightful oaths and generally do everything possible to aid said ASSIGNEE and its representatives to obtain and enforce proper protection for said Subject Invention in the United States of America and in any and all foreign countries.

We further agree that the terms, covenants and conditions of this assignment shall inure to the benefit of ASSIGNEE, its successors, assigns, and legal representatives, and shall be binding on us, our heirs, legal representatives, and assigns.

Full name of inventor: Jeffrey D. Muhs

Signature: Jeffrey D. Muhs Date: 4-7-04

Residence: Lenoir City, Tennessee

Post Office Address: 4023 Hwy 70E, Lenoir City, Tennessee 37771

State of Tennessee)
County of ROANE)

On this 7th day of April, 20 04, before me, a Notary Public in and for the County and State aforesaid, appeared Jeffrey D. Muhs to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.



Kirk A. Wilson
Notary Public

**MY COMMISSION EXPIRES
MARCH 30, 2005**

Full name of inventor: Dennis D. Earl

Signature: Dennis D. Earl Date: 04/14/2004

Residence: Knoxville, Tennessee

Post Office Address: 913 View Harbour Road, Knoxville, Tennessee 37922

State of Tennessee)
County of ROANE)

On this 14 day of April, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared Dennis D. Earl to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.



Mark A. Wilson
Notary Public

MY COMMISSION EXPIRES
MARCH 30, 2005

Full name of inventor: David L. Beshears

Signature: David L. Beshears Date: 4/7/04

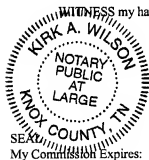
Residence: Knoxville, Tennessee

Post Office Address: 723 Sunnysdale Road, Knoxville, Tennessee 37923

State of Tennessee)
County of ROANE)

On this 7 day of April, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared David L. Beshears to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.



Kirk A. Wilson
Notary Public

**MY COMMISSION EXPIRES
MARCH 30, 2005**

Full name of inventor: Lonnie C. Maxey

Signature: Lonnie C. Maxey Date: 4-7-04

Residence: Powell, Tennessee

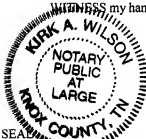
Post Office Address: 7907 Camberley Drive, Powell, Tennessee 37849

State of Tennessee)

County of ROANE)

On this 7th day of April, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared Lonnie C. Maxey to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.



Kirk A. Wilson
Notary Public

SEAL
My Commission Expires:

**MY COMMISSION EXPIRES
MARCH 30, 2005**

Full name of inventor: John K. Jordan

Signature: *John K. Jordan*

Date: 1/8/04

Residence: Oak Ridge, Tennessee

Post Office Address: 103 Elliott Circle, Oak Ridge, Tennessee 37830

State of Tennessee)

County of ROANE)

On this 8th day of April, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared John K. Jordan to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.



Kirk A. Wilson
Notary Public

SEAL

My Commission Expires:

**MY COMMISSION EXPIRES
MARCH 30, 2005**

Full name of inventor: Randall F. Lind

Signature: [Handwritten Signature] Date: 4/7/04

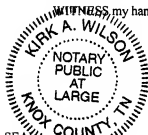
Residence: Lenoir City, Tennessee

Post Office Address: 14297 Virtue Road, Lenoir City, Tennessee 37772

State of Tennessee)
County of Roane)

On this 7th day of April, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared Randall F. Lind to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

~~WITNESS~~ my hand and seal the day and year last above given.



[Handwritten Signature: Kirk A. Wilson]
Notary Public

SEAL
My Commission Expires:

**MY COMMISSION EXPIRES
MARCH 30, 2005**